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U.S. PTO

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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	YOR920030136US1 (8728-621)
First Inventor	Wing K. Luk
Title	GATED DIODE MEMORY CELLS
Express Mail Label No.	EV 413370014US

APPLICATION ELEMENTS		ADDRESS TO:													
See MPEP chapter 600 concerning utility patent application contents.		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231													
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)													
2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>		8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>													
3. <input checked="" type="checkbox"/> Specification [Total Pages 61] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 		a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies													
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 22]		9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))													
5. Oath or Declaration [Total Pages 2]		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small>													
a. <input checked="" type="checkbox"/> Newly executed (original or copy) <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 18 completed)</small>		11. <input type="checkbox"/> English Translation Document (if applicable)													
b. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations													
i. <input type="checkbox"/>		13. <input type="checkbox"/> Preliminary Amendment													
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>													
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>													
<input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)		16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.													
Prior application information: Examiner _____		of prior application No.: _____ / _____ Group Art Unit: _____													
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.															
19. CORRESPONDENCE ADDRESS															
<input type="checkbox"/> Customer Number or Bar Code Label		<small>(Insert Customer No. or Attach bar code label here)</small>													
or <input type="checkbox"/> Correspondence address below															
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Name</td> <td colspan="3"></td> </tr> <tr> <td colspan="2" style="height: 40px;"></td> <td colspan="2"></td> </tr> <tr> <td colspan="2" style="height: 40px;"></td> <td colspan="2"></td> </tr> </table>				Name											
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="width: 50%;">F. CHAU & ASSOCIATES, LLC</td> <td colspan="2"></td> </tr> <tr> <td colspan="4" style="height: 40px;"></td> </tr> </table>				F. CHAU & ASSOCIATES, LLC											
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="width: 50%;">Address</td> <td colspan="2">1900 Hempstead Turnpike, Suite 501</td> </tr> <tr> <td colspan="2"></td> <td colspan="2"></td> </tr> </table>				Address		1900 Hempstead Turnpike, Suite 501									
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">City</td> <td style="width: 25%;">East Meadow</td> <td style="width: 25%;">State</td> <td style="width: 25%;">New York</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </table>				City	East Meadow	State	New York								
City	East Meadow	State	New York												
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Country</td> <td style="width: 25%;">U.S.A</td> <td style="width: 25%;">Telephone</td> <td style="width: 25%;">(516) 357-0091</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </table>				Country	U.S.A	Telephone	(516) 357-0091								
Country	U.S.A	Telephone	(516) 357-0091												
Name (Print/Type)		Registration No. (Attorney/Agent) 45,747													
Signature 		Date Dec. 11, 2003													

1920/73561



Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

ATTORNEY DOCKET: YOR920030136US1 (8728-621)
Date: December 11, 2003
Express Mail Label: EV 413370014US
Date of Deposit: December 11, 2003

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Wing K. Luk, Robert H. Dennard

For: GATED DIODE MEMORY CELLS

Enclosed are: [X] 49 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 11 sheet(s) of claims; [X] 22 sheet(s) of drawing(s);

[X] An assignment of the invention to: International Business Machines Corporation, Armonk, New York, with Recordation Form.

[X] Declaration and Power of Attorney.

[] A certified copy of _____ from which priority under Title 35 USC §119 is claimed.

[X] Associate Power of Attorney.

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	53 - 20 =	33
INDEP CLAIMS	3 - 3 =	0
<u>MULTIPLE DEPENDENT CLAIMS PRESENTED</u>		

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

OTHER THAN A
SMALL ENTITY

RATE	FEE
	\$770.00
X \$18 =	594.00
X \$86 =	
+ 290 =	
TOTAL	\$ 1,364.00

- [] A check in the amount of \$ _____ to cover the [] filing fee(s), [] recording fee is enclosed.
- [X] Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$1,364.00.
- [X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.
- [X] Any additional filing fees required under 37 CFR 1.16.
- [X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:


Eric M. Parham
Registration No. 45,757

Please address all correspondence to:

F. CHAU & ASSOCIATES, LLC
1900 Hempstead Tpke., Suite 501
East Meadow, NY 11554
Tel: (516) 357-0091
Fax: (516) 357-0092

Attorney for:

IBM Corporation
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, NY 10598

CERTIFICATION UNDER 37 C.F.R. §1.10

I hereby certify that this Application transmittal and documents referred to as enclosed are being deposited with the United States Postal Service on this date December 11, 2003 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV413370014US addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.


Eric M. Parham

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FEE TRANSMITTAL

for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 1,404.00)

Complete if Known

Application Number	
Filing Date	December 11, 2003
First Named Inventor	Wing K. Luk
Examiner Name	
Art Unit	
Attorney Docket No.	YOR920030136US1 (8728-621)

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number
50-0510/IBM

Deposit Account Name
IBM/Yorktown Heights

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments

Charge any additional fee(s) during the pendency of this application

Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 750	2001 375	Utility filing fee	770.00
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)		(\$ 770.00)	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	53	-20** =	33	x 18	= 594
Independent Claims	3	- 3** =	0	x 86	=
Multiple Dependent			290		=

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 594)

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	40.00
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify) _____			
*Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$ 40.00)

(Complete if applicable)

Name (Print/Type)	Eric M. Parham	Registration No. (Attorney/Agent)	45,747	Telephone	516-357-0091
Signature	<i>E. Parham</i>			Date	<i>Dec. 11, 2003</i>

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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